

# Federal Public Key Infrastructure Policy Authority (FPKIPA)

## Minutes of the 8 February 2005 Meeting

GSA; 1800 F Street; Room 7001; Washington, DC

### A. AGENDA

- 1) Welcome & Opening Remarks / Introductions
- 2) Status of Minutes from 14 December 2004 and 11 January 2005
- 3) Status of Email Votes Since Last FPKIPA Meeting
- 4) Discussion Topic #1: FPKIPA Business Practices
- 5) Discussion Topic #2: Discuss/Vote on FPKIPA Charter
- 6) Federal Identity Credentialing Committee (FICC) Report
- 7) FPKI Certificate Policy Working Group (CPWG) Report
- 8) Federal PKI Operational Authority (FPKI OA) Report
- 9) Final Meeting Items
- 10) Meeting Adjourned / Next Meeting Plans

### B. ATTENDANCE LIST

#### VOTING MEMBERS

Organization	Name	Email	Telephone
Dept of Commerce (NIST)	Polk, Tim		
Dept of Defense	Hanko, Dave		
Dept of Energy	Breland, Mary Ann		
Dept of Health & Human Services	Alterman, Peter		
Dept of Justice	Morrison, Scott		
Dept of State	Cao, Tin		
Dept of the Treasury	Schminky, James		
GSA	Cornell, John		
NASA	DeYoung, Tice		
OMB		ABSENT	
USDA/NFC		ABSENT	

#### OBSERVERS

Organization	Name	Email	Telephone
ACES	Duncan, Steve		
Dept of Health & Human Services	Fortwengler, George		
Dept of State (Mantech)	Froehlich, Charles R.		
Dept of the Interior	Davis, Russ		
Dept of the Treasury (eValid8)	Dilley, Brian		
Dept of the Treasury (eValid8)	Faut, Nathan		
FICC	Petrack, Brant		
FICC	Spencer, Judy		
FPKI OA Director (GSA)	Jenkins, Cheryl		
FPKI OA (Mitretek)	Stern, Michael		
FPKI OA (Mitretek)	Tate, Darron		
FPKIPA Secretary (IATAC)	Lentz, Mark		
State of Illinois	Anderson, Mark		

## **C. MEETING ACTIVITY**

### **Agenda Items 1 & 2**

#### **Introductions / Vote on Approval of Meeting Minutes**

This meeting took place at the GSA Headquarters Building, 1800 F Street, Washington, DC in Room 7001. Dr. Peter Alterman, Department of Health & Human Services (HHS) and FPKIPA Chair, called the meeting to order at 9:40 a.m. with attendee introductions.

Regarding the 14 December 2004 and 11 January FPKIPA meeting minutes, they were not completed prior to this meeting so they will be distributed to the FPKIPA via email and a vote request will be done either by email or at the next FPKIPA meeting.

**ACTION (122): IATAC will forward the 14 December 2004 and 11 January 2005 FPKIPA meeting minutes to the FPKIPA voting members and request a vote either by email or at the next FPKIPA meeting.**

### **Agenda Item 3**

#### **Status of Email Votes Since Last FPKIPA Meeting**

There were three items voted on via email votes since the last FPKIPA meeting on 11 January 2005. The email vote records for these items are attached as Appendix A of these minutes.

Mr. Mark Lentz, IATAC and the FPKIPA Secretary, provided a brief summary of the outcome of the email vote for each of the three items:

Common Policy Change Proposal, 2005-01 --- This item was actually voted on at the 11 January FPKIPA meeting but Defense, Energy, and Justice voted to Abstain. These three voting members were given until the Friday after that FPKIPA meeting to vote on this item. Energy and Justice voted Yes on this item and Defense didn't vote.

FPKIPA Chair --- Since the 11 January FPKIPA meeting, each of the FPKIPA Chair nominees sent an email to Mr. Mark Lentz, FPKIPA Secretary with their intentions to remain as a nominee. Only Ms. Carol Bales decided to withdrawal as a nominee. All of the FPKIPA voting members voted and the results were that there were 7 votes for Dr. Peter Alterman, HHS, 2 votes for Dr. Tice DeYoung, NASA, and 2 votes for Mr. Dave Hanko, DoD. Therefore, Dr. Alterman, HHS, was elected as the next FPKIPA Chair. His term will be from 1 Feb 2005 – 31 Dec 2006.

KPMG audit deadline extension --- This item was approved by an 82% approval vote as it received 9 Yes votes and 2 voting members did not submit votes.

Mr. Lentz also explained the new FBCA Cross-Certification (X-Cert) Executive Summary Sheet that will now be distributed at FPKIPA meetings to show the status of each of the FBCA X-Cert members and applicants for deliverables or X-Cert actions. This chart is simpler than the FBCA Cross-Certification (X-Cert) Status Sheet that used to be distributed, since that one listed all the steps in the process and dates that each X-Cert criteria was accomplished.

## Agenda Item 4

### Discussion Topic #1: FPKIPA Business Practices

Dr. Tice DeYoung, NASA, will be leading the effort to develop the FPKIPA Business Practices document. This document will capture topics supplemental to the Criteria & Methodologies Document, covering such topics as common FPKIPA meeting practices, FPKIPA Chair election practices/procedures, document distribution and approval processes, etc. Anyone is welcome to join in the effort that will be starting soon.

## Agenda Item 5

### Discussion Topic #2: Discussion/Vote on FPKIPA Charter

Someone in the meeting asked about where the FPKIPA and FICC were located in the Federal PKI organizational structure. The FICC is a committee of the CIO Council, thus reporting directly to the Chair of the CIO Council, and the FPKIPA is a working group under the FICC.

Without further discussion, the vote to approve the FPKIPA Charter was taken and it was approved with 10 out of the 11 voting members voting Yes and one absent member not voting. Here is the vote record:

Approval vote for FPKIPA Charter, Version 1.5			
Voting members	Vote (Motion – GSA; 2 <sup>nd</sup> – Commerce)		
	Yes	No	Abstain
Dept of Commerce	X		
Dept of Defense	X		
Dept of Energy	X		
Dept of Health & Human Services	X		
Dept of Justice	X		
Dept of State	X		
Dept of the Treasury	X		
GSA	X		
NASA	X		
OMB	ABSENT – did not vote		
USDA/NFC (designated proxy - FPKIPA Chair)	X		

## Agenda Item 6

### Federal Identity Credentialing Committee (FICC) Report

Ms. Judith Spencer, FICC, distributed the latest version of the GSA technical supplement to OMB Memo M-05-05. It is undergoing final review prior to approval signature and public distribution.

Ms. Spencer noted that only Federal agencies are required to comply with this memo, other organizations (e.g. State governments, foreign governments, vendors, etc.) are not affected. Likewise, any current FBCA cross-certification members who want to cross-certify with the FBCA at additional assurance levels are not affected by this memo either.

Any current FBCA cross-certification member who wants to offer PKI services to other organizations must go through the SSP approval process.

This memo doesn't cover classified PKIs. Some of the FPKIPA members would like to pursue how to discuss classified PKIs and they agreed to meet soon. The interested members are DoD, Energy, State, Treasury, and Justice.

## **Agenda Item 7**

### **FPKI Certificate Policy Working Group (CPWG) Report**

The first item to discuss for the CPWG is to discuss and vote on approval of FBCA CP Change Proposal, 2005-01. Mr. Tim Polk explained the changes in this proposal about the use of usage bits in certificate extensions. There were just a few comments but no issues with the wording of this change proposal and it was approved with 10 out of the 11 voting members voting Yes and one absent member not voting nor designating a proxy. Here is the voting record:

<b>Approval vote for the FBCA CP Change Proposal, 2005-01</b>			
<b>Voting members</b>	<b>Vote (Motion – Commerce; 2<sup>nd</sup> – NASA)</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of Commerce	X		
Dept of Defense	X		
Dept of Energy	X		
Dept of Health & Human Services	X		
Dept of Justice	X		
Dept of State	X		
Dept of the Treasury	X		
GSA	X		
NASA	X		
OMB	ABSENT – did not vote		
USDA/NFC (designated proxy - FPKIPA Chair)	X		

Since the last FPKIPA meeting, it has become necessary to conduct a policy mapping for the State of Illinois for their Level I and Level II portions of their certificate policy compared to the FBCA Basic and Medium assurance levels. There had been some confusion, since the State of Illinois was originally cross-certified to the FBCA CP at the Medium level, about what to do with the Level I and Level II portion of the State of Illinois policy. Mr. Tim Polk, NIST, conducted a policy mapping of the Level I and Level II portions of the State of Illinois policy and then put a mapping report together with his findings and recommendations for the FPKIPA. The primary topics to address in this mapping were identity proofing requirements and key pair generation requirements. Based on his policy mapping work, Mr. Polk recommended in his mapping report, the following:

- 1) The CPWG recommends that the FPKI PA approve mapping of the State of Illinois Level II hardware policy and the Illinois Level II software policy to FBCA Medium Assurance.
- 2) The CPWG recommends that the FPKI PA approve mapping of the State of Illinois Level I hardware policy and the Illinois Level I software policy to FBCA Basic Assurance.

Here is the vote record associated with approving this policy mapping of the State of Illinois:

<b>Approval vote for State of Illinois Mapping Report</b>			
<b>Voting members</b>	<b>Vote (Motion – Commerce; 2<sup>nd</sup> – NASA)</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of Commerce	X		
Dept of Defense	X		
Dept of Energy	X		
Dept of Health & Human Services	X		
Dept of Justice	X		
Dept of State	X		
Dept of the Treasury	X		
GSA	X		
NASA	X		
OMB	ABSENT – did not vote		
USDA/NFC (designated proxy - FPKIPA Chair)	X		

There was a question about when the latest audit was done for the State of Illinois, if it had been done in June 2003 or June 2004. Mr. Mark Anderson said it was June 2004 and he would send that report to the FPKIPA for our records.

**ACTION (123): The State of Illinois will send the FPKIPA the June 2004 report for their most recent audit.**

Since the last FPKIPA meeting, the CPWG has reviewed the DoD ECA compliance audit report and approved it and submitted a recommendation for the FPKIPA to approve their compliance audit. Since this is the last cross-certification criteria for DoD ECA to complete prior to FBCA Cross-Certification approval, at the Medium assurance level, it was motioned that we vote on both at the same time. The vote was conducted and approved with 9 out of 11 voting members voting Yes, DoD disqualified from voting due to conflict of interest, and 1 absent voting member did not vote or designate a proxy. Here is the voter record:

<b>Approval vote for DoD ECA – Compliance Audit and Cross-Certification with FBCA (Medium)</b>			
<b>Voting members</b>	<b>Vote (Motion – Commerce; 2<sup>nd</sup> – GSA)</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of Commerce	X		
Dept of Defense	Cannot vote – Conflict of Interest		
Dept of Energy	X		
Dept of Health & Human Services	X		
Dept of Justice	X		
Dept of State	X		
Dept of the Treasury	X		
GSA	X		
NASA	X		
OMB	ABSENT – did not vote		
USDA/NFC (designated proxy - FPKIPA Chair)	X		

Also since the last FPKIPA meeting, the CPWG has reviewed the ACES/ORC compliance audit report and approved it and submitted a recommendation for the FPKIPA to approve their compliance audit. The vote was conducted and approved with 9 out of 11 voting members voting Yes, GSA disqualified from voting due to conflict of interest, and 1 absent voting member did not vote or designate a proxy. Here is the voter record:

<b>Approval vote for ACES/ORC – Compliance Audit</b>			
<b>Voting members</b>	<b>Vote (Motion – NASA; 2<sup>nd</sup> – Commerce)</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of Commerce	X		
Dept of Defense			
Dept of Energy	X		
Dept of Health & Human Services	X		
Dept of Justice	X		
Dept of State	X		
Dept of the Treasury	X		
GSA	Cannot vote – Conflict of Interest		
NASA	X		
OMB	ABSENT – did not vote		
USDA/NFC (designated proxy - FPKIPA Chair)	X		

Since this is the last cross-certification criteria for ACES/ORC to complete prior to FBCA Cross-Certification approval, at the Medium assurance level, it was motioned that we also vote on ACES/ORC for cross certification. There was some discussion about the compliance audits that have been done for ACES/ORC. Because of the timing of the audits, it was recommended that the FPKIPA approve a 6-month certificate for ACES/ORC until the FPKIPA receives an updated audit letter for ACES/ORC, before 8 August 2005. The vote was conducted and approved with 9 out of 11 voting members voting Yes, GSA disqualified from voting due to conflict of interest, and 1 absent voting member did not vote or designate a proxy. Here is the voter record:

<b>Approval vote for ACES/ORC – Cross-Certification with FBCA (Medium)</b>			
<b>Voting members</b>	<b>Vote (Motion – Commerce; 2<sup>nd</sup> – GSA)</b>		
	<b>Yes</b>	<b>No</b>	<b>Abstain</b>
Dept of Commerce	X		
Dept of Defense			
Dept of Energy	X		
Dept of Health & Human Services	X		
Dept of Justice	X		
Dept of State	X		
Dept of the Treasury	X		
GSA	Cannot vote – Conflict of Interest		
NASA	X		
OMB	ABSENT – did not vote		
USDA/NFC (designated proxy - FPKIPA Chair)	X		

## Agenda Item 9

### Federal PKI Operational Authority (FPKI OA) Report

#### Status of FPKI Architecture Certification & Accreditation (C&A)

Ms. Cheryl Jenkins, FPKI OA Director, reviewed the status of the FPKIA CP/CPS Compliance Audit, stating the following highlights:

The CP/CPS Audit is still on schedule with KPMG to be completed by the end of March 2005.

The RFC 2527 vs. RFC 3647 FBCA CP analysis should be done by KPMG and delivered to the FPKI OA by 25 March 2005.

#### Status of FBCA/Applicant Cross-Certification Technical Testing:

Both the Department of Homeland Security (DHS) and the Higher Education Bridge Certification Authority (HEBCA) should be done testing by 11 February 2005.

The Government Printing Office (GPO) is in the process of coordinating testing with the FPKI OA to start around the end of February 2005.

Prototype Testing --- There have been many times in the past 2 years that the FPKI OA and the cross-certification members have wanted to conduct tests but many times there are not prototype certificates available from the cross-certification members for the testing and if testing is done with production certificates there are high risks of causing severe problems in the member's PKI. Therefore, the FPKI OA requests that FBCA cross-certification applicants and members maintain a prototype CA, mirroring their production CA, even after cross-certification technical testing is completed for testing purposes.

**ACTION (124): Ms. Cheryl Jenkins, FPKI OA Director, will develop a memo from the FPKIPA to the FBCA Cross-Certification members to request the maintenance of a long-term prototype CA at each of their sites.**

Department of the Treasury has brought it to the attention of the FPKI OA that there may be some problems with the FBCA directory. There was some discussion during this meeting but it was suggested that the FBCA TWG be convened in early March 2005 for a specific meeting to discuss this subject and Treasury would be asked to make a presentation about their understanding of the problems.

**ACTION (125): Ms. Cheryl Jenkins, FPKI OA Director, will coordinate a FBCA TWG meeting to be held in early March 2005, to discuss FBCA Directory problems identified by Treasury.**

#### Status of CA Testing:

There was no CA testing since the January 11<sup>th</sup> FPKIPA meeting to report during this meeting.

## **Agenda Item 10**

### **Final Meeting Items**

#### **FBCA CP Compliance Audit Frequency Requirement**

Mr. Polk introduced the topic of the compliance audit frequency requirement in the FBCA CP. The existing requirement is for an annual audit. Some of the FBCA cross-certification members have identified that as a difficult requirement to meet, especially for a full audit to be conducted each year. One possible suggestion was to do a complete audit every three years and a supplemental audit for the other years. This would lead us to define what would be required in a supplemental audit. Also, how would auditors claim that a system is compliant without conducting a complete audit. One suggestion to address the auditor question would be to have organizations have three year audit contracts and then the same auditor is doing both the full audits and the supplemental audits to make sure the organization's systems are still compliant.

This discussion was just to introduce the topic. At the 3 February CPWG meeting, Ms. Kathy Sharp, NFC, and Ms. Cheryl Jenkins, FPKI OA Director, were given an action to develop a position paper on this subject and it will be a part of the main agenda at the 8 March FPKIPA meeting.

#### **NASA Implementation of PKCS-12**

Dr. Tice DeYoung, NASA, informed the attendees that NASA has now fully implemented the PKCS-12 standard in their PKI operations, as they had mentioned a few months ago. The FPKIPA voting members did not see any negative impacts on the other FBCA cross-certification members with this implementation by NASA, so they accepted it at this meeting.

## **Agenda Item 11**

### **Meeting Adjourned / Next Meeting Plans**

The meeting adjourned at 11:55 a.m.

The next FPKI PA Meeting is scheduled for 8 March 2005 from 09:30-12:30 at the GSA facility located at 1800 F Street, Room 5141A, Washington DC.



#### D. CURRENT ACTION ITEMS

No.	Action Statement	POC	Start Date	Target Date	Status
048	Solicit participants with a real application to do business with Canada.	Judy Spencer, GSA	10 June 2003	13 Jan 2004 FPKIPA meeting	Open
057	Write a short paper that says from here forward the FBCA OA will limit FBCA acceptance testing to systems that demonstrate enhanced assurance through NIAP testing.	Tim Polk, NIST	8 July 2003 Updated – 9 Sept 2003	9 Dec 2003 FPKIPA meeting	Open
062	Define the NIAP certification requirement for future bridge membrane applications.	Tim Polk, NIST	9 Sept 2003	9 Dec 2003 FPKIPA meeting	Open
066	Develop text for the FPKIPA Charter regarding the sunset clause for voting members of the FPKIPA who are not cross certified members of the FBCA.	Tim Polk, NIST	18 Nov 2003	13 Jan 2003 FPKIPA meeting	Open
085	Test/evaluate the PKCS-12 usage issue and make a recommendation to the FPKIPA at a meeting in the near future.	Tim Polk, NIST	13 July 2004	12 October 2004 FPKIPA meeting	Open
087	Once the CPWG approves the Department of Labor (DoL) compliance audit letter, request the FPKIPA voting members to submit their approval votes for cross certification of DoL.	IATAC	13 July 2004	10 August 2004 FPKIPA meeting	Open
090	Develop a C&A list related to NIST Standards 800-26 and 800-53.	Cheryl Jenkins, GSA	12 Oct 2004	Jan 2005 FPKIPA meeting	Open
095	Develop, obtain FPKIPA approval, and distribute a letter to cross-certification members, requesting them to send a letter to the FPKIPA to document their compliance audit history and schedule of annual audit of their cross-certified CA, in compliance with FISMA requirements.	IATAC	12 Oct 2004	14 Dec 2004 FPKIPA meeting	Open
096	Research and draft FPKIPA charter updates to address Bridge-to-Bridge Cross-Certification.	Dr. Tice DeYoung, NASA	12 Oct 2004	Jan 2005 FPKIPA meeting	Open
097	Research and draft FBCA Criteria & Methodology document updates to address Bridge-to-Bridge Cross-Certification.	Dr. Peter Alterman, HHS	12 Oct 2004	Jan 2005 FPKIPA meeting	Open

<b>No.</b>	<b>Action Statement</b>	<b>POC</b>	<b>Start Date</b>	<b>Target Date</b>	<b>Status</b>
112	Update their MOA with the FBCA to reflect the new one-way certificate being issued for the period of January 2005 to January 2006.	DoD	11 Jan 2005	28 Feb 2005	<b>Open</b>
113	Prepare and route a new Letter of Authorization from the FPKIPA to the FPKI OA for this new one-way cross-certificate for the DoD PKI for the period of January 2005 to January 2006.	IATAC	11 Jan 2005	31 Jan 2005	<b>Open</b>
115	Develop a FPKIPA Business Practices document.	Dr.Tice DeYoung, NASA Mark Lentz, IATAC	11 Jan 2005	31 Mar 2005	<b>Open</b>
122	Forward the 14 December 2004 and 11 January 2005 FPKIPA meeting minutes to the FPKIPA voting members and request a vote either by email or at the next FPKIPA meeting.	IATAC	08 Feb 2005	1 Mar 2005	<b>Closed, 02 Mar 2005</b>
123	Send the FPKIPA the June 2004 report for their most recent audit.	State of Illinois	08 Feb 2005	11 Mar 2005	<b>Closed, 08 Feb 2005</b>
124	Develop a memo from the FPKIPA to the FBCA Cross-Certification members to request the maintenance of a long-term prototype CA at each of their sites.	Cheryl Jenkins, FPKI OA Director	08 Feb 2005	8 Mar 2005 FPKIPA meeting	<b>Open</b>
125	Coordinate a FBCA TWG meeting to be held in early March 2005, to discuss FBCA Directory problems identified by Treasury.	Cheryl Jenkins, FPKI OA Director	08 Feb 2005	4 Mar 2005	<b>Open</b>

# Appendix A

## FPKIPA Email Voting Record (11 Jan 2005 – 7 Feb 2005)

ORG	Common Policy Change Proposal, 2005-01	Voting Member	FPKIPA Chair	Voting Member	KPMG audit deadline extension	Voting Member
	<u>Request –</u> 12 Jan 2005 <u>Due–</u> 14 Jan 2005 <u>Approval –</u> 14 Jan 2005		<u>Request –</u> 18 Jan 2005 <u>Due –</u> 25 Jan 2005 <u>Approval –</u> 25 Jan 2005		<u>Request –</u> 19 Jan 2005 <u>Due –</u> 21 Jan 2005 <u>Approval –</u> 25 Jan 2005	
Commerce	Y 01/11/05	Polk	Alterman 01/25/05	Polk	Y 01/25/05	Polk
Defense			DeYoung 01/19/05	Hanko	Y 01/21/05	Hanko
Energy	Y 01/13/05	Bales	Alterman 01/25/05	Bales		
HHS	Y 01/11/05	Alterman	Alterman 01/18/05	Alterman	Y 01/19/05	Alterman
Justice	Y 01/13/05	Woods	Hanko 01/21/05	Deeley	Y 01/21/05	Deeley
State	Y 01/11/05	Cao	Alterman 01/18/05	Cao	Y 01/19/05	Cao
Treasury	Y 01/11/05	Alterman	Alterman 01/21/05	Moldenhauer	Y 01/19/05	Moldenhauer
GSA	Y 01/11/05	Temoshok	Alterman 01/18/05	Temoshok	Y 01/21/05	Temoshok
NASA	Y 01/11/05	DeYoung	DeYoung 01/18/05	DeYoung	Y 01/20/05	DeYoung
OMB	Y 01/11/05	Thornton	Alterman 01/18/05	Thornton		
USDA/NFC	Y 01/11/05	Sharp	Hanko 01/25 05	Sharp	Y 01/19/05	Sharp
	Result --- Approved Y – 10 of 11 votes (91%) (Gray votes from 11Jan05 FPKIPA meeting)		Result – Peter Alterman is elected the new FPKIPA Chair Alterman – 7 votes DeYoung – 2 votes Hanko - 2 votes		Result – Approved Y – 9 of 11 votes (82%) No vote – 2	
	No vote - 1					